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U.S. Patent and Trademark Office M/S Amendment	(571) 273-8300	

FROM: Katherine D. Lee (Reg. No. 44,865)**DATE:** October 3, 2006

Number of pages with cover page:	18
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Contents of this Transmission:

Atty Docket No. 476172000100:

Inventor: Calvin B. GRIGSBY

Application No.: 09/896,831

Filing Date: June 28, 2001

Group Art Unit: 3628

Examiner: C. B. Graham

**Title: METHOD AND APPARATUS FOR OFFERING, PRICING, AND SELLING
SECURITIES OVER A NETWORK****Documents:**

Transmittal (1 page)

Fee Transmittal w/duplicate copy for fee processing (2 pages)

Petition for Extension of Time 2-months (1 page)

Amendment in Response to Non-Final Office Action (13 pages)

Facsimile Return Receipt Cover

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PTO/SB/21 (38-04)


Approved for use through 07/31/2005. OMB 0851-0031

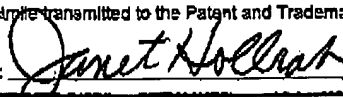
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/896,831	
	Filing Date	June 28, 2001	
	First Named Inventor	Calvin B. GRIGSBY	
	Art Unit	3628	
	Examiner Name	C. B. Graham	
Total Number of Pages in This Submission	17	Attorney Docket Number	476172000100

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form w/duplicate copy for fee processing (2 pages) <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply (13 pages) <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request (1 page) <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Facsimile Return Receipt Cover
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Firm Name	MORRISON & FOERSTER LLP (Customer No. 20872)		
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Printed name	Katherine D. Lee		
Date	October 3, 2006	Reg. No.	44,865

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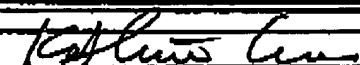
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Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818). FEE TRANSMITTAL For FY 2006		Complete if Known Application Number 09/898,831 Filing Date June 28, 2001 First Named Inventor Calvin B. GRIGSBY Examiner Name C. B. Graham Art Unit 3628 Attorney Docket No. 476172000100																																																							
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27																																																									
TOTAL AMOUNT OF PAYMENT (\$) 225.00																																																									
METHOD OF PAYMENT (check all that apply)																																																									
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FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)																																																									
1. BASIC FILING, SEARCH, AND EXAMINATION FEES																																																									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2">Application Type</th> <th colspan="2">FILING FEES</th> <th colspan="2">SEARCH FEES</th> <th colspan="2">EXAMINATION FEES</th> <th rowspan="2">Fees Paid (\$)</th> </tr> <tr> <th>Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee (\$)</th> <th>Small Entity Fee (\$)</th> </tr> </thead> <tbody> <tr> <td>Utility</td> <td>300</td> <td>150</td> <td>500</td> <td>250</td> <td>200</td> <td>100</td> <td>0</td> </tr> <tr> <td>Design</td> <td>200</td> <td>100</td> <td>100</td> <td>50</td> <td>130</td> <td>65</td> <td>0</td> </tr> <tr> <td>Plant</td> <td>200</td> <td>100</td> <td>300</td> <td>150</td> <td>160</td> <td>80</td> <td>0</td> </tr> <tr> <td>Reissue</td> <td>300</td> <td>150</td> <td>500</td> <td>250</td> <td>600</td> <td>300</td> <td>0</td> </tr> <tr> <td>Provisional</td> <td>200</td> <td>100</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> <td>0</td> </tr> </tbody> </table>				Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Utility	300	150	500	250	200	100	0	Design	200	100	100	50	130	65	0	Plant	200	100	300	150	160	80	0	Reissue	300	150	500	250	600	300	0	Provisional	200	100	0	0	0	0	0
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3. APPLICATION SIZE FEE																																																									
If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).																																																									
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4. OTHER FEE(S)																																																									
Non-English Specification, \$130 fee (no small entity discount)			<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Fees Paid (\$)</th> </tr> </thead> <tbody> <tr> <td>0</td> </tr> </tbody> </table>	Fees Paid (\$)	0																																																				
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SUBMITTED BY																																																									
Signature 		Registration No. (Attorney/Agent) 44,865																																																							
Name (Print/Type) Katherine D. Lee		Telephone (415) 268-6983																																																							
		Date October 3, 2006																																																							

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